



21861 U.S. PTO

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|  |                        |   |
|--|------------------------|---|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No.    | 03368/100D888-US3   |
|  | First Inventor         | Charles E. Rogler   |
|  | Title                  | CHRONIC HEPATITIS VIRUS INFECTION AND<br>CLONAL HEPATOCELLULAR CARCINOMA IN<br>MOUSE REPOPULATED LIVERS |
|  | Express Mail Label No. |   |

|   |   |
|---|---|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>ADDRESS TO:</b><br>MS Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 |
|---|---|

|   |   |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original, and a duplicate for fee processing)   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)  |
| 2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)   |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages <b>42</b> ]<br>(preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table,<br/>or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | a. <input checked="" type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input checked="" type="checkbox"/> Paper<br>c. <input checked="" type="checkbox"/> Statements verifying identity of above copies   |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>8</b> ]  | <b>ACCOMPANYING APPLICATION PARTS</b>   |
| 5. Oath or Declaration [Total Sheets <b>4</b> ]<br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br>(for continuation/divisional with Box 18 completed)<br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting inventor(s)<br>named in the prior application,<br>see 37 CFR 1.63(d)(2) and 1.33(b).   | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of<br>(when there is an assignee) Attorney<br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS<br>Statement (IDS)/PTO-1449 Citations (4 copies total)<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)<br>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)<br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).<br>Applicant must attach form PTO/SB/35 or its equivalent.<br>17. <input checked="" type="checkbox"/> Other: Express Mail Certificate Under 37 C.F.R. 1.10<br>Search Report |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |   |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: **09/344,189**

Prior application information: Examiner **P. Paras, Jr.** Art Unit: **1632**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|   |   |  |                       |          |                       |
|---|---|--|-----------------------|----------|-----------------------|
| <b>19. CORRESPONDENCE ADDRESS</b>                                 |   |  |                       |          |                       |
| <input checked="" type="checkbox"/> Customer Number: <b>07278</b> |   | OR <input type="checkbox"/> Correspondence address below |                       |          |                       |
| Name  | <b>DARBY &amp; DARBY P.C.<br/>S. Peter Ludwig</b> |  |                       |          |                       |
| Address   | <b>P.O. Box 5257</b>                              |  |                       |          |                       |
| City  | <b>New York</b>                                   | State  | <b>NY</b>             | Zip Code | <b>10150-5257</b>     |
| Country   | <b>US</b>   | Telephone  | <b>(212) 527-7700</b> | Fax      | <b>(212) 753-6237</b> |

|                   |                                  |                                   |                       |
|-------------------|----------------------------------|-----------------------------------|-----------------------|
| Name (Print/Type) | <b>Mitchell Bernstein, Ph.D.</b> | Registration No. (Attorney/Agent) | <b>46,550</b>         |
| Signature         |                                  | Date                              | <b>March 19, 2004</b> |

22858 U.S. PTO  
10/805653

21861 U.S. PTO  
031904

PTO/SB/17 (10-03)

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 800.00

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | TBA                   |
| Filing Date          | Concurrently Herewith |
| First Named Inventor | Charles E. ROGLER     |
| Examiner Name        | P. PARAS, Jr.         |
| Art Unit             | 1632                  |
| Attorney Docket No.  | 03368/100D888-US3     |

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number

04-0100

Deposit Account Name

Darby & Darby P.C.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001     | 770      | 2001     | 385      | Utility filing fee     | 385.00   |
| 1002     | 340      | 2002     | 170      | Design filing fee      |          |
| 1003     | 530      | 2003     | 265      | Plant filing fee       |          |
| 1004     | 770      | 2004     | 385      | Reissue filing fee     |          |
| 1005     | 160      | 2005     | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$) 385.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid   |
|--------------------|--------------|----------------|------------|
| 47                 | -20** = 27   | \$9            | 243        |
| Independent Claims | 7            | -3** = 4       | \$43 = 172 |
| Multiple Dependent |              | 0              | 0          |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|----------|----------|----------|----------|--|
| 1202     | 18       | 2202     | 9        | Claims in excess of 20                                     |
| 1201     | 86       | 2201     | 43       | Independent claims in excess of 3                          |
| 1203     | 290      | 2203     | 145      | Multiple dependent claim, if not paid                      |
| 1204     | 86       | 2204     | 43       | ** Reissue independent claims over original patent         |
| 1205     | 18       | 2205     | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 415.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 1051                  | 130                   | 2051                  | 65                    | Surcharge - late filing fee or oath  |          |
| 1052                  | 50                    | 2052                  | 25                    | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053                  | 130                   | 1053                  | 130                   | Non-English specification  |          |
| 1812                  | 2,520                 | 1812                  | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 1804                  | 920*                  | 1804                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                  | 1,840*                | 1805                  | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 1251                  | 110                   | 2251                  | 55                    | Extension for reply within first month                                     |          |
| 1252                  | 420                   | 2252                  | 210                   | Extension for reply within second month                                    |          |
| 1253                  | 950                   | 2253                  | 475                   | Extension for reply within third month                                     |          |
| 1254                  | 1,480                 | 2254                  | 740                   | Extension for reply within fourth month                                    |          |
| 1255                  | 2,010                 | 2255                  | 1,005                 | Extension for reply within fifth month                                     |          |
| 1401                  | 330                   | 2401                  | 165                   | Notice of Appeal   |          |
| 1402                  | 330                   | 2402                  | 165                   | Filing a brief in support of an appeal                                     |          |
| 1403                  | 290                   | 2403                  | 145                   | Request for oral hearing   |          |
| 1451                  | 1,510                 | 1451                  | 1,510                 | Petition to institute a public use proceeding                              |          |
| 1452                  | 110                   | 2452                  | 55                    | Petition to revive - unavoidable   |          |
| 1453                  | 1,330                 | 2453                  | 665                   | Petition to revive - unintentional   |          |
| 1501                  | 1,330                 | 2501                  | 665                   | Utility issue fee (or reissue)   |          |
| 1502                  | 480                   | 2502                  | 240                   | Design issue fee   |          |
| 1503                  | 640                   | 2503                  | 320                   | Plant issue fee  |          |
| 1460                  | 130                   | 1460                  | 130                   | Petitions to the Commissioner  |          |
| 1807                  | 50                    | 1807                  | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 1806                  | 180                   | 1806                  | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 8021                  | 40                    | 8021                  | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 1809                  | 770                   | 2809                  | 385                   | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                  | 770                   | 2810                  | 385                   | For each additional invention to be examined (37CFR 1.129(b))              |          |
| 1801                  | 770                   | 2801                  | 385                   | Request for Continued Examination (RCE)                                    |          |
| 1802                  | 900                   | 1802                  | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

## SUBMITTED BY

Name (Print/Type) Mitchell Bernstein, Ph.D.

Registration No. (Attorney/Agent)

46,550

(Complete (if applicable))

Telephone (212) 527-7708

Signature

*Mitchell Bernstein*

Date

March 19, 2004

Application No. (if known):

Attorney Docket No.: 03368/100D888-US3

## Certificate of Express Mailing Under 37 CFR 1.10

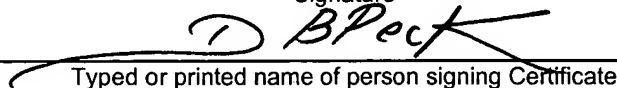
I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. **2988945871-US** in an envelope addressed to:

MS Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on March 19, 2004  
Date



Signature

  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

PTO/SB/05 Utility Patent Application Transmittal (1 p)  
Specification (33 pp), Claims (8 pp) & Abstract (1 p)  
Sequence Listing (1 p) 1 floppy disk; Drawings & Photographs (8 pp, Figs. 1, 2A, 2B, 2C, 2D, 2E, 3A, 3B, 4, 5A, 5B, 5C, 5D, 5E, 5F, 5G, 5H, 6A and 6B)  
Application Data Sheet (1 p); Search Report (2 pp)  
Information Disclosure Statement (4 pp) & w/ Listing of cited documents (8 pp) and 4 documents  
PTO/SB/17 Fee Transmittal FY 2004  
Check #~~4496~~, \$800.00  
Certificate of Express Mailing Under 37 CFR 1.10  
Statement Pursuant to 37 C.F.R. 1.821  
Copy of executed Declaration and Power of Attorney filed in serial no 09/344,189 (4 pp)